



Policy Implementation

Courses

JSM518 "Public Policy"

JSD009 „Public Policy“

JSM699 „Theory of Public Policy“

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What the lecture is about

- The concept of implementation
- Theoretical models of implementation
- Critical factors of implementation
- The implementation process
- Implementation difficulties
- The theory of bureaucracy
- Politico-administrative relations





Implementation

"It is hard enough to design public policies and programs that look good on paper. It is harder still to formulate them in words and slogans that resonate pleasingly in the ears of political leaders and the constituencies to which they are responsible. And it is excruciatingly hard to implement them in a way that pleases anyone at all, including the supposed beneficiaries or clients."

(Bardach 1977, p. 3)

The concept of implementation

- **Implement**

- to begin to do or use; to make active or effective (m-w.com)

- **Policy implementation** = all that is related, in one way or another, **to the realization of the goals** that were defined in the stage of policy formulation, **including the ways, means and instruments of fulfilling those goals.**



Theoretical models of implementation



1) **Authoritative model**

- *Top-down* flow of signals and information in a hierarchical structure
- Principal regulator: **government**
- Principal-agent problem: implementation outcomes rest on relations between principals (politicians) and agents (bureaucrats)
- Instruments:
 - directive management, planning, inspection & audit, **hierarchy**, authority.

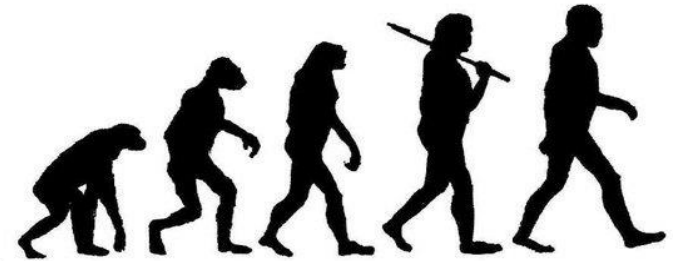
Theoretical models of implementation

2) Participative model

- *Bottom-up* flow of signals and information
- Instruments:
 - spontaneity, coordination, learning, adaptation, negotiation, cooperation, trust.



Theoretical models of implementation



3) Advocacy Coalition Framework

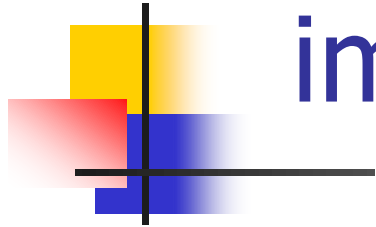
- **Advocacy Coalition Framework** postulates a **plurality of actors** who communicate and negotiate together but also **share a set of values** and strive to fulfil **shared goals**. Actors gradually optimize the structure of goals and **implementation methods** by communication and negotiation (in order to reach the best solution) (Sabatier 1986) *Refer to Lecture_5 for more details.*

4) Continuous learning process model

(or: cultural_change model)

- Learning_by doing (Browne & Wildavsky 1984)
- **Implementation as evolution** – goals are redefined and instruments modified continuously (Pressman & Wildavsky 1984)

Theoretical models of implementation: the links



Authoritative model



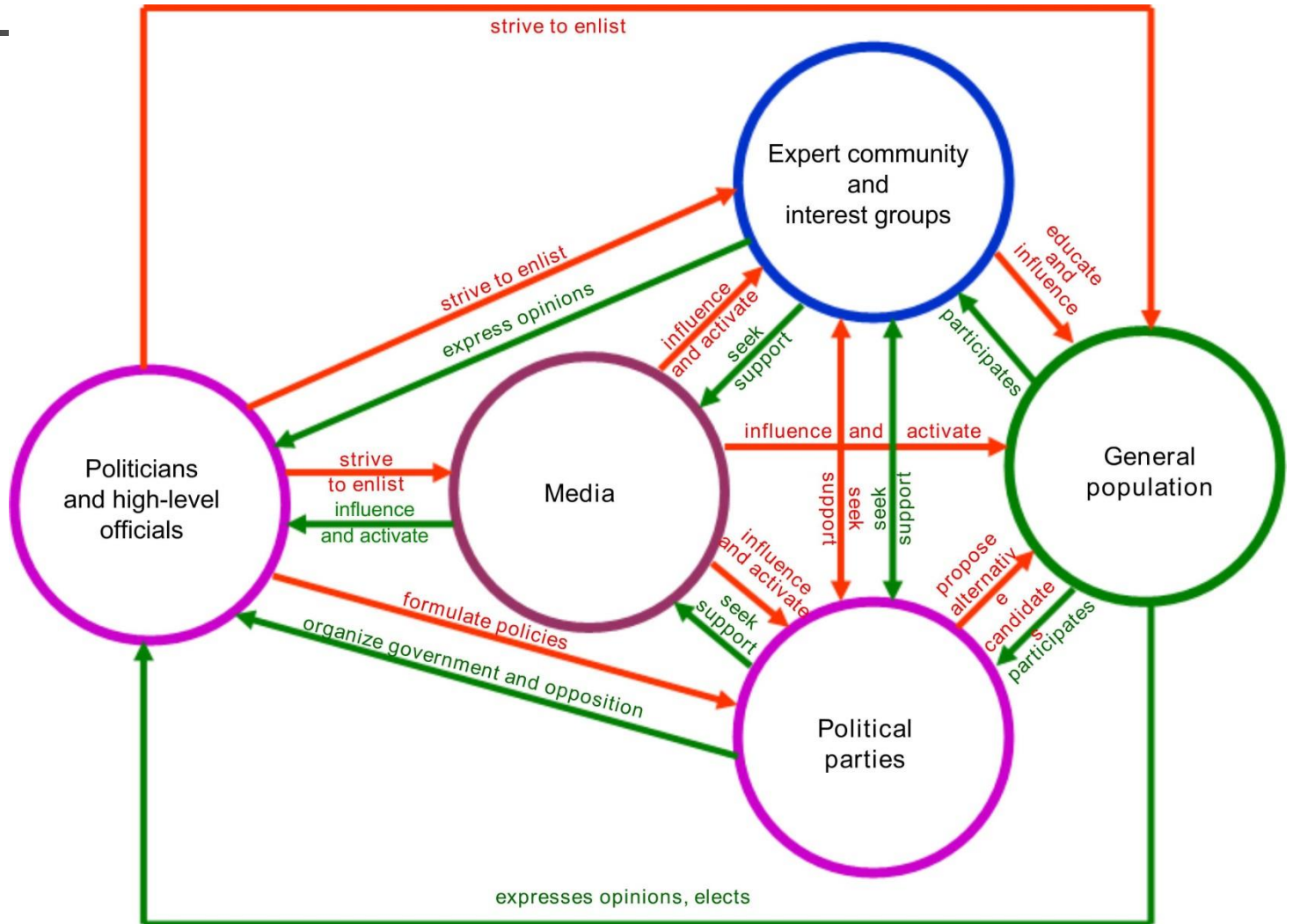
Participative model



Advocacy coalition framework



Continuous learning process model





Exercise



- ***Pick a **policy area.*****

***Define the **regulators**
responsible for **implementation**
and their **instruments.**
Justify your choice.***

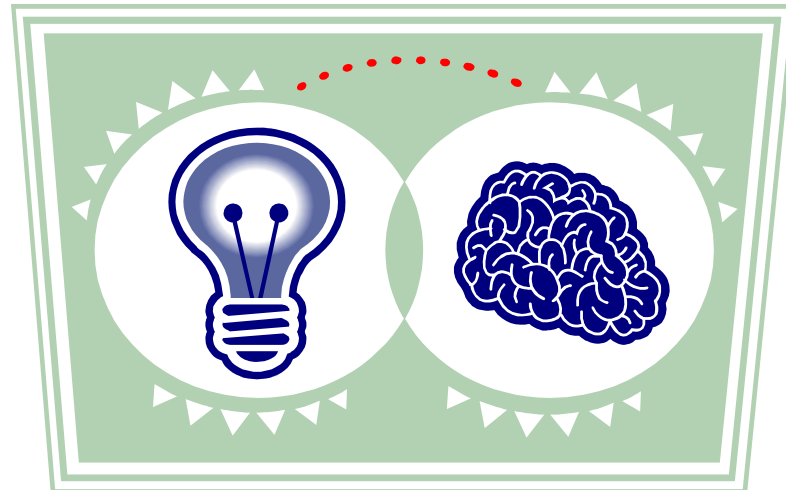


Critical factors of implementation

- 1) Implementer's **competences**
- 2) Degree of **shared values** among stakeholders
- 3) **Coordination** between the necessary **elements** of policy implementation
 - The implementation process as an exercise in **effective collective action**

Critical Thinking Question

- ***What are the different things a policy **implementer** should take into consideration?***





The implementation process

An implementer gets **appointed**



An implementation **project is drafted**



Implementation actors make choices and **realize** the policy



The process is **monitored & evaluated continuously**, problems solved as they arise



Exemplifying the implementation process

- Before formulating a policy recommendation, the implementer should make sure it is **practicable** and **politically feasible**, **minimizing** potential **risks**.

Adoption of the Act on Registered Partnership

The criminalization of homosexual behaviour in Czechoslovakia was abolished in 1961. It was not until 1990 that homosexuality was equalized with heterosexuality in penal law. For the first time in Czech history, same-sex couples were allowed to enter into civil unions by Act No. 115/2006 Coll., on Registered Partnership. Majority support for the law by citizens and politicians was only possible thanks to a large enough shift in societal values.



Implementation difficulties

- Insufficient analysis of the internal and external environment in which policies are implemented (including foresighting)
- **Difficult foresight**: policy faces unpredicted/unpredictable changes in its environment
- **Risk of unintended consequences** of measures taken
- Growing complexity of societal relations makes it difficult to influence societal development (Kepinski 1986)
 - *"No more is possible than to modify. The hope is that demons can reasonably be brought under control"*. (Ringen 1987)
- **Inertia** of people's and institutions' **value orientations** and behaviours (**path dependence** theory)
- Coexistence, overlaps and conflicts with other public policies
- **Concealed opportunistic behaviour** of policy actors



Implementation difficulties

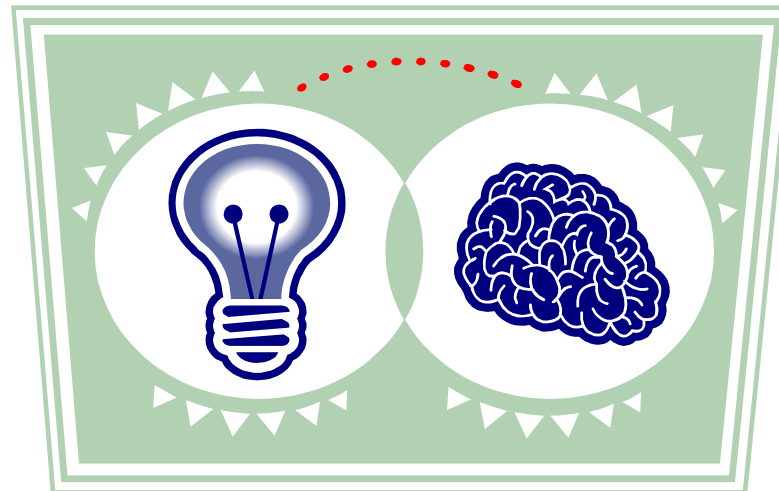
- **Implementation deficit**

- A **gap** between the resources actually spent implementing a policy and the resources required for effective realization of its goals

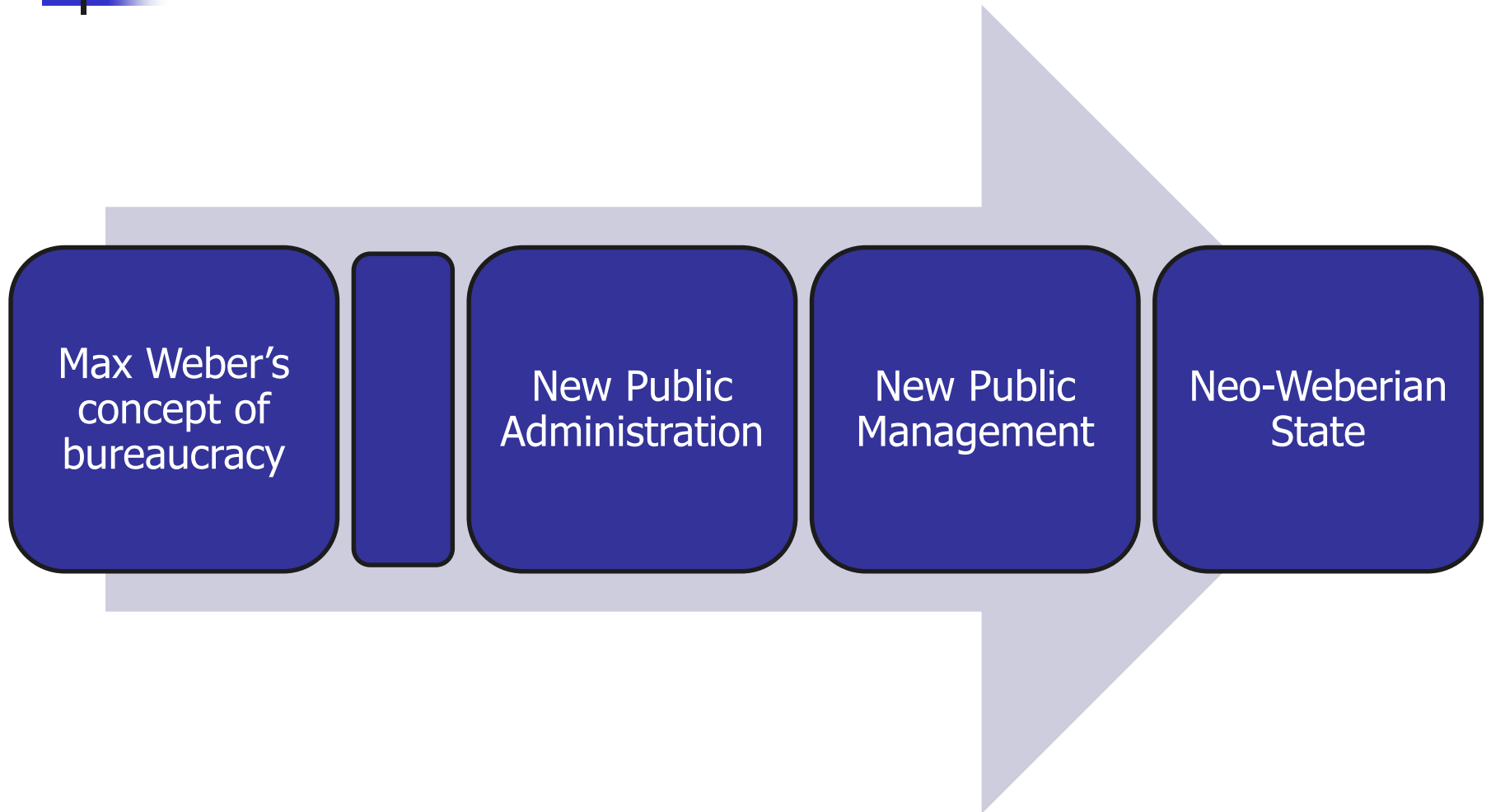


Critical Thinking Question

- ***What are the main **conditions** of **effective implementation**?***



The theory of bureaucracy: a history





The theory of bureaucracy

Classic Weberian model

Impersonal exercise of authority.

Formalized rules of decision making.

Hierarchy of authority & responsibility is defined and followed.

Appointment of bureaucrats based on competence & performance.

Clear, pre-defined rules of staff remuneration.

No single bureaucrat has a personal interest in the assets managed by him/her.

Exercise of official responsibility subject to discipline & strict monitoring.

New (neo-) elements

Orientation shifted from mere knowledge of law & application of internal bureaucratic rules to professional management of the satisfaction of people's needs & wants.

Instruments of representative democracy complemented by instruments of deliberative (consultative), participative, corporatist & direct democracy.

Modernization of public funding – emphasis shifted from mere correct application of budgetary rules to fulfilment of defined goals.

Politico-administrative relations



Problematic aspects:

- **politicization** of public administration;
- growing role of other implementation actors – advisors (specialists, experts);
- **changing general context** of policy implementation in the governance process:
 - globalization, multi-level nature, growing involvement of other actors, including business & civic sector actors.



Literature in English

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